

BACKGROUND QUESTIONNAIRE

Please respond to the following questions in the space provided. If you need additional space for any response, you may attach additional pieces of paper.

Today's date: July 18, 2014

1. What is your full name?
 - William John Kelly
2. Have you ever been known by any other name? Yes ☐ No ☒

If yes, list each such name and the period(s) in which you were known by that name.

3. Date and Place of Birth?
 - [REDACTED], 1949 Marlborough Massachusetts, USA
4. Country of Citizenship?
 - USA
5. Marital Status? Married ☒ Divorced ☐ Single ☐

If you have ever been married, state for each marriage: (i) the date(s) of the marriage; (ii) the name of your spouse; (iii) your spouse's birth name, if different; (iv) your spouse's age; and (v) your spouse's occupation.

- January 1996 to present, Kelly Dee Kelly, Kelly Deshazor, 47, Mom
 - September 1971 to 1973, Louise Kelly (Deceased), Louise Dec, N/A, Deceased
6. List the names, ages and occupations of your children, if any.
 - William D. Kelly, [REDACTED], None
 - Jessica Kelly, [REDACTED], None
 - Alexandra Kelly, [REDACTED], None
 7. List all residences you occupied at any time during the last [three] years, including vacation homes, beginning with your current residence. For each residence, state the address, dates of residence, and all telephone numbers (including facsimile numbers) listed at that address.
 - [REDACTED], Weston, Florida, 33331, July 1996 to Present, 954-349-0065
 8. List all telephone numbers and telecommunication services that were in your name or that you regularly used at any time during the last [three] years. Include all residential, business, cellular, credit card, and VOIP telephone numbers, including those listed in your response to question 7, and services such as GoogleVoice, Skype, video conference



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services. For each telephone number, state the name(s) of the corresponding carrier(s) (e.g., AT&T, Verizon, Vonage, Skype, etc.).

- 954-648-8395, At&T Wireless Services, Personal and Business
- 802-673-6327, AT&T Wireless Services, Business
- 802-327-2115, Jay Peak Resort Owned, Business
- 954-349-0065, At&T Residential Services, Personal Home Phone
- 954-328-8360, AT&T Wireless Services, Wife's personal cellphone
- 954-830-2488, AT&T Wireless Services, Son's personal cellphone
- 954-801-3478, AT&T Wireless Services, Daughter's personal cellphone
- 954-296-1172, AT&T Wireless Services, Daughter's personal cellphone

9. List the universal resource locator (URL) for all websites or blogs that you established or for which you had the authority to control content, at any time during the last [three] years. For each website, state the name(s) of the domain name registrar (e.g. GoDaddy) through which the URL was obtained, the name(s) of all individuals or entities who provided web site hosting or design services, whether the website contained primarily business or personal information, and the time period in which it was active.

- www.northeastcontractservices.com, Go daddy, IM Inc., Business, 2012 – Present
- www.qburke.com, Go Daddy, Business, active 2012 – Present but never used
- www.wjkelly.com, Network Solutions, Go Daddy, Personal, 1990 – Present
- www.kdkelly.com, Network Solutions, Go Daddy, Personal, 1996 - Present
- www.wdkelly.com, Network Solutions, Go Daddy, Personal, 1999 – Present
- www.jessicadaniele.com, Network Solutions, Go Daddy, Personal, 2000 – Present
- www.alexandrajane.com, Network Solutions, Go Daddy, Personal, 2001 – Present
- www.partyrelease.com, Go Daddy, Go Daddy, Personal, 2012 - Present

10. List all electronic mail addresses and social networking accounts (e.g. Facebook, LinkedIn, Twitter, Instagram, Flickr, and Google+) that were in your name or that you regularly used at any time during the last [three] years. Include all personal, business and shared electronic mail addresses and social networking accounts. For each electronic mail address and social networking account, state the name(s) of the corresponding internet service provider(s) (e.g., Google, Yahoo, AOL, or your employer), whether the address was used primarily for business or personal correspondence, and the time period in which it was active.

- wjkelly@mindspring.com, Mindspring, Personal and Business, 1990 – Present
- wjkelly@me.com, Apple, Personal but not used, 2007 – Present
- Wkelly22@gmail.com, Google, Personal but not used, 2013 – Present
- wjkelly@jaypeakresort.com, Employer, Business but not used, 2011 – Present
- [wjkelly@mindspring.com](http://www.wjkelly@mindspring.com) is the access to my Bill Kelly Facebook account 2005 - Present

11. List all usernames for instant messaging and similar electronic communication services (including, but not limited to, Bloomberg, Skype, whatsapp), other than those listed in your response to questions 8 through 10, that were in your name or that you regularly used at any time during the last [three] years. Include all personal, business and shared addresses. For each username, state the name(s) of the communication service provider (e.g., Google, AOL, etc.), whether the address was used primarily for business or personal correspondence, the time period in which it was active, and the name of the software application(s) (e.g., GTalk, ICQ, MSN Messenger) you used to access it.

- Skype, personal but not used, 1996 - present

12. List all internet message boards or discussion forums (including, but not limited to, Money Maker Group, PNQI Message Board, Investors Hub Daily) of which you were a member or on which you posted any messages at any time during the last [three] years. For each message board or discussion forum, state the service provider and your member name or identification information.

- None

PUBLICLY-HELD COMPANIES

13. Are you now, or have you ever been, an officer or director of any publicly-held company? Yes ☐ No ☒

If yes, identify each such company, its CUSIP, and any exchange on which it is or was listed, and state your positions (including membership on any Board or management committees) and the dates you held each position.

14. Are you now, or have you ever been, a beneficial owner, directly or indirectly, of five per cent or more of any class of equity securities of any publicly held company? Yes ☐ No ☒

If yes, identify each such company, its CUSIP, and any exchange on which it is or was listed, and state the amount, percentage, and dates of your ownership.

PRIVATELY-HELD COMPANIES

15. Are you now, or have you ever been, a beneficial owner, directly or indirectly, of any privately-held company (*i.e.*, corporation, partnership, limited liability company or other corporate form)? Yes X No

- My ownership of any privately held company (see answer to question 16 below for the names of all companies) has always been direct. No indirect beneficial.

If yes, identify each such company, including address and other contact information, and state your positions and the dates you held each position.

- The answer to this question is the same data as the answer for question 16 below.

16. Are you now, or have you ever been, a manager or a member of any privately-held company (*i.e.*, corporation, partnership, limited liability company or other corporate form)? Yes X No

If yes, identify each such company, including address and other contact information, and state your positions and the dates you held each position.

- North East Contract Services, LLC, 172 Bogner Drive, Newport, VT 05855, Owner and Managing Member, 2012 – Present
- Inner Circle Professional Services, LLC, 3460 Stallion Lane, Weston, FL 33331, Owner and Managing Member, 2009- Present
- Technology Tree International, LLC, 111 NE 1st Street, Miami, FL 33132, Member, 1999 – 2011
- Power2Insure, LLC, 1219 Weston Road, Weston, Fl, 33326, Member, 1997 – 2000
- Claim Card Inc, Town Center Drive, Weston FL33331, shareholder, 1997 - 2004

SECURITIES ACCOUNTS

17. List all securities or brokerage accounts that you have held in your name, individually or jointly, at any time during the last [three] years. Include all foreign accounts. For each such account, identify: (i) the brokerage firm; (ii) the location of the branch where your account is or was held; (iii) your broker; (iv) the type of account (*i.e.*, cash, margin or IRA); (v) the account number; and (vi) whether any person has ever held discretionary authority or power of attorney over the account; if so, name such person(s).

- None

18. List all securities or brokerage accounts (including foreign accounts), other than those listed in your answer to question 17, in which you had any direct or indirect beneficial interest at any time during the last [three] years. For each such account, provide the information requested by question 17.

- None

19. List all securities or brokerage accounts (including foreign accounts), other than those listed in your answer to question 17 or 18, over which you had any control at any time during the last [three] years. For each such account, provide the information requested by question 17.

- None

BANK ACCOUNTS

20. List all accounts you have held in your name at any financial institution (*i.e.*, bank, thrift, or credit union) at any time during the last [three] years. Include all foreign accounts. For each such account, identify: (i) the financial institution; (ii) the address of the branch at which your account is or was held; (iii) the type of account (*i.e.*, checking, savings, money market or IRA); (iv) the account number; and (v) whether any person has ever had discretionary authority or power of attorney over the account; if so, name such person(s).

- SunTrust Bank, 1200 Weston Road, Weston, FL 33326, Business Checking, [REDACTED] 9480, No
- SunTrust Bank, 1200 Weston Road, Weston, FL 33326, Business Money Market, [REDACTED] 0754, No
- SunTrust Bank, 1200 Weston Road, Weston, FL 33326, Business Money Market, [REDACTED] 8422, No
- SunTrust Bank, 1200 Weston Road, Weston, FL 33326, Personal Savings, [REDACTED] 8351, Wife as co-owner of account
- SunTrust Bank, 1200 Weston Road, Weston, FL 33326, Personal Checking, [REDACTED] 1491, Wife as co-owner of account
- Bank of America, 1219 Weston Road, Weston, FL 33326, Personal Checking, [REDACTED] 6196, Wife as co-owner of account
- Bank of America, 1219 Weston Road, Weston, FL 33326, Personal Checking, [REDACTED] 6109, Wife as co-owner of account
- Bank of America, 1219 Weston Road, Weston, FL 33326, Personal Checking, [REDACTED] 0304, Wife as co-owner of account

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- Bank of America, 1219 Weston Road, Weston, FL 33326, Personal Checking, [REDACTED] 0317, Wife as co-owner of account
- Bank of America, 1219 Weston Road, Weston, FL 33326, Home Equity Line of Credit, [REDACTED] 2199, Wife as co-owner of account
- Chase Bank, 1919 Town Center Blvd, Weston, FL, 33326, Business Checking, [REDACTED] 2182, No
- Chase Bank, 1919 Town Center Blvd, Weston, FL, 33326, Business Money Mkt, [REDACTED] 1967, No
- Chase Bank, 1919 Town Center Blvd, Weston, FL, 33326, Business Money Mkt, [REDACTED] 2320, No
- Chase Bank, 1919 Town Center Blvd, Weston, FL, 33326, Personal Checking, [REDACTED] 8621, Wife as co-owner of account
- Peoples Bank, 2 Burlington Square, Burlington VT 05401, Business Checking, [REDACTED] 0221, No

21. List all accounts at financial institutions (including foreign accounts), other than those listed in your answer to question 20, in which you had any direct or indirect beneficial interest at any time during the last [three] years. For each such account, provide the information requested by question 20.

- Fidelity Retirement Plans Shawmut (Bank of America) Pension Plans, PO Box 770003, Cincinnati, OH 45277-0070 2054934279087

22. List all accounts at financial institutions (including foreign accounts), other than those listed in your answer to question 20 or 21, over which you had any control at any time during the last [three] years. For each such account, provide the information requested by question 20.

- None

23. List any other accounts (including foreign accounts), other than those listed in your answers to questions 20 through 22, that were held in your name, in which you had any direct or indirect beneficial interest, or over which you had any control, that you have used to transfer funds in the last [three] years, including, but not limited to, PayPal accounts. For each such account, provide the information requested by question 20.

- None

PRIOR PROCEEDINGS

24. Have you ever testified in any proceeding conducted by the staff of the Securities and Exchange Commission, a U.S. or foreign federal or state agency, a U.S. or foreign federal or state court, a stock exchange, the Financial Industry Regulatory Authority ("FINRA") or any other self-regulatory organization ("SRO"), or in any arbitration proceeding related to securities transactions? Yes ☐ No ☒

If yes, for each such proceeding, identify: (i) the title of the proceeding; (ii) the organization or agency; and (iii) the date(s) on which you testified.

25. Have you ever been deposed in connection with any court proceeding? Yes ☐ No ☒

If yes, for each such proceeding, identify: (i) the title of the proceeding, and (ii) the date(s) on which you were deposed.

26. Have you ever been named as a defendant or respondent in any action or proceeding brought by the SEC, any other U.S. or foreign federal agency, a state securities agency, FINRA, an SRO, or any exchange? Yes ☐ No ☒

If yes, for each such proceeding, identify: (i) the title of the proceeding; (ii) the agency or tribunal; (iii) the substance of the allegations; (iv) the outcome of the proceeding; and (v) the date of the outcome.

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27. Have you ever been a defendant in any action (other than those listed in response to question 26) alleging violations of the federal securities laws? Yes ☐ No ☒

If yes, for each such proceeding, identify: (i) the title of the proceeding; (ii) the court or tribunal; (iii) the outcome of the proceeding; and (iv) the date of the outcome.

28. Have you ever been a defendant in any criminal proceeding other than one involving a minor traffic offense? Yes ☐ No ☒

If yes, for each such proceeding, identify: (i) the title of the proceeding; (ii) the court or tribunal; (iii) the outcome of the proceeding; and (iv) the date of the outcome.

EDUCATIONAL HISTORY

29. Provide the requested information about each educational institution that you have attended, beginning with the most recent and working backward to the date that you completed high school.

Western New England University, School of Law

Name of School

Wilbraham

Massachusetts

USA

01119

City

State

Country

Zip Code

1979 to 1982

JD

1982

Dates of Attendance: Month/Year to Month/Year

Degree/Major

Month/Year of Degree

University of Massachusetts Amherst

Name of School

Amherst

Massachusetts

USA

01003

City

State

Country

Zip Code

1974 to 1978

BA

1978

Dates of Attendance: Month/Year to Month/Year

Degree/Major

Month/Year of Degree

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Ludlow High School

Name of School

Ludlow Massachusetts

City State

1964 to 1965 & 1966 to 1967

Dates of Attendance: Month/Year to Month/Year

USA

Country

HS

Degree/Major

01056

Zip Code

1967

Month/Year of Degree

Hudson High School

Name of School

Hudson Ohio

City State

1965 to 1966

Dates of Attendance: Month/Year to Month/Year

USA

Country

N/A

Degree/Major

44236

Zip Code

N/A

Month/Year of Degree

30. Other than courses taken in connection with institutions listed in response to question 29, list any securities, accounting or business related courses taken since high school. For each such course, identify the date that the course was completed and the name of the institution or organization that offered the course.

Insurance Agents License, 1982, Massachusetts, Do Not Recall the name of the course

PROFESSIONAL LICENSES/CLUBS

31. Do you hold, or have you ever held, any professional license? Yes__ No X

If yes, for each such license, identify: (i) the license number or attorney bar number; (ii) the licensing organization; (iii) the date the license was awarded; (iv) the date such license terminated, if applicable; (v) the date(s) of any disciplinary proceeding(s) against you; and (vi) the outcome of any such disciplinary proceeding (e.g., reprimand, suspension, revocation).

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32. Are you, or have you ever been, a member of any professional or business club or organization? Yes ☐ No ☒

If yes, list for each: (i) the name of the club or organization; (ii) its address; (iii) the date(s) of your membership; and (iv) service in any governance roles (e.g., board member, committee member, etc.) including title and dates of service.

33. Are you, or have you been in the last [three] years, a member of any social clubs, charities or nonprofit organizations? Yes ☐ No ☒

If yes, list for each: (i) the name of the social club, charity or nonprofit organization; (ii) its address; (iii) the date(s) of your membership; and (iv) service in any governance roles (e.g., board member, committee member, etc.) including title and dates of service..

EMPLOYMENT HISTORY

34. Are you, or have you ever been, an employee of a broker, dealer, investment adviser, investment company, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization? Yes ☐ No ☒

If yes, list for each: (i) the jurisdiction of the entity; (ii) your CRD number; (iii) the entity's CRD number; (iv) the entity's SEC File number; (v) the entity's CUSIP number; and (vi) any foreign registration information similar to the foregoing.

- I have been employed by Bank Holding Companies as listed below in employment history, but never with responsibilities for securities, broker, dealer, investment adviser, investment company, municipal securities dealer, municipal advisor, cash management, arbitrage, transfer agent or any other similar responsibilities while employed there.

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35. State your employment activities, beginning with the present and working backward to the date that you completed high school and attach a recent copy of your resume or curriculum vitae.

Self Employed

Employer's Name/Self-Employment

3460 Stallion Lane

Employer's Street Address

Weston

City

Consultant

Title

Florida

State

1994 to Present

Dates of Employment

USA

Country

954-648-8395

Telephone Number

33331

Zip Code

Supervisor

Inner Circle Professional Services

Employer's Name/Self-Employment

3460 Stallion Lane

Employer's Street Address

Weston

City

President

Title

Florida

State

2013 to Present

Dates of Employment

USA

Country

954-648-8395

Telephone Number

33331

Zip Code

Supervisor

Jay Peak Resort

Employer's Name/Self-Employment

111 NE 1st Street

Employer's Street Address

Miami

City

COO

Title

Florida

State

August 2011 to Present

Dates of Employment

USA

Country

802-327-2115

Telephone Number

33132

Zip Code

President and Chairman

Supervisor

Connecticut National Bank / Shawmut National Bank

Employer's Name/Self-Employment

777 Main Street

Employer's Street Address

Hartford

City

Vice President

Title

Connecticut

State

1985 to 1994

Dates of Employment

USA

Country

Telephone Number

06103

Zip Code

John Hamill, President

Supervisor

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Palmer, Goodell, Preston, Keeney & Olmstead

Employer's Name/Self-Employment

Baystate Tower, Main Street

Employer's Street Address

Springfield

Massachusetts

USA

City

State

Country

Telephone Number

01101

Zip Code

Workers Comp Self Insured Accounts Manager 1982 to 1985 Russell Preston, Principal

Title

Dates of Employment

Supervisor

Ludlow Fire department

Employer's Name/Self-Employment

Chapin Street

Employer's Street Address

Ludlow

Massachusetts

USA

City

State

Country

Telephone Number

01056

Zip Code

Full Time Fire Fighter 1970 to 1980

Title

Dates of Employment

Homer Dubois, Chief

Supervisor

United States Marine Corp

Employer's Name/Self-Employment

LCPL, Vietnam Veteran 1968 to 1970

Title

Dates of Employment

Supervisor

No Resume Available

CONTINUE ON ADDITIONAL SHEETS IF NECESSARY